

## WORKPAPER NUMBERING/INDEXING SYSTEM

### NON-PROVISIONAL RATE AUDITS

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**A. Preliminary Audit Planning**

- 1.1 Planning Memo/Audit Checklist
- 2.1 Correspondence/Audit Contact Log
- 3.1 Scheduling Letter
- 4.1 Provider's SR 2G, SR 2As, Bs, Cs/Client List

**B. Preliminary Audit/CCL Review**

- 1.1 CCL Requirements/Fingerprints

**C. Preliminary (FCRB)**

- 1.1 Program Statement
- 2.1 Rate Application
- 3.1 Correspondence/Rate Letters

**D. Entrance Conference**

- 1.1 Summary Entrance Conf./Questionnaire
- 2.1 Org. Chart/Bd. Members

**E. (CCS)**

- 1.1 SR 2A - WPs
- 2.1 Paid Hours Verif./Worksheets
- 3.1 T.S./Payroll/Checks
- 4.1 Interviews/Other Docs

**F. Training**

- 1.1 Training Analysis/Logs/Docs

**G. (SW) Activities**

- 1.1 SR 2B-WPs/Contracts
- 2.1 Paid hours Verif./Worksheets
- 3.1 T.S./Billings, Payroll Checks
- 4.1 Interviews/Other Docs

**H. (MH) Treatment Services**

- 1.1 SR 2C-WPs
- 2.1 Paid Hours Verif./Worksheets
- 3.1 Timesheets, Billings, Payroll, Logs or MH Verification
- 4.1 Interviews/Other Docs

**I. Fiscal Review Information**

- 1.1 Salaries, Facility Leases, & Other Docs

**J. Current Month**

- 1.1 Current Month Info.

**K. Actual Occupancy Confirmation**

- 1.1 Actual Occupancy Worksheets

**L. Preliminary Audit Results**

- 1.1 Completed Spreadsheets
- 2.1 Point Sheets

**M. Exit Conference**

- 1.1 Summary of Exit Conference

**N. Final Audit Draft/Spreadsheets (QCR)**

- 1.1 FAR/Spreadsheets-QC

**O. Final Audit Reports**

- 1.1 Signed FAR and Spreadsheets

**P. Post Audit Results**

- 1.1 Informal Hearing
- 2.1 Formal Hearing
- 3.1 Corrective Action